

The Written OQ Program						
WP	OR	Item #	Description	Regulatory Reference		13 Issue Notes
		A1	Did the operator meet the OQ Rule requirements for establishing a written operator qualification program and completing qualification of individuals performing covered tasks?	192.809	195.509	Protocol Question 1.05
		A2	Was the operator's written qualification program established by April 27, 2001?	192.809	195.509	Adapted from Verification Statement in 1.05
		A3	Has the operator addressed the rule requirements in the written program plan and has established implementation requirements that include criteria and documentation requirements?	192.805	195.505	Adapted from 5.01.2
		A4	Has the operator defined "operations and maintenance"? Is the definition consistent with regulatory requirements as they are applied to pipeline facilities?	192.801 192.805	195.501 195.505	1 Adapted from 2.01.4
		A5	Have key terms been defined and provided to all entities involved in implementing the OQ program to avoid ambiguities and mis-interpretations?	192.809	195.509	Adapted from 1.05.4
	OR	A6	Does a senior manager in the operator's organization have overall responsibility for the OQ program?	192.809	195.509	Adapted from 1.05.1
	OR	A7	Does the operator's training organization play a significant role in the development and continued implementation of the OQ program?	192.803 192.805	195.503 195.505	Adapted from 1.04.4
ok	or	A8	Are there clear lines of delegation for responsibility to implement the elements of the program that has been established and have those been communicated to key organizations and managers and supervisors within those organizations?	192.809	195.509	Adapted from 1.05.2
	OR	A9	Have OQ program requirements been consistently implemented throughout the operator's organizational entities?	192.809	195.509	Adapted from 1.05.3
		A10	Does the written qualification program identify all covered tasks for the operator's operations and maintenance functions?	192.809	195.509	Adapted and revised from Verification Statement in 1.05. Removed reference to 10/28/02.
	OR	A11	Does the operator's plan identify and document the source of the covered task list used by the operator?	192.805	195.505	Protocol Question 1.01
	OR	A12	Has the operator documented criteria that are used to select evaluators for the OQ program?	192.805	195.505	Adapted from 4.03.1
		A13	Does the operator's plan specify task-specific reevaluation intervals for individuals performing covered tasks?	192.805	195.505	4 Protocol Question 1.01
		A14	Does the written qualification program establish evaluation method(s) to be used to ensure the qualification of individuals performing covered tasks?	192.809	195.509	10 Adapted and revised from Verification Statement in 1.05. Removed reference to 10/28/02.

		A15	Does the operator's written program plan and/or evaluation documentation identify that after October 28, 2002, work performance history review will not be used as the sole method of evaluation for qualification, and that work performance history will not be used as a sole evaluation method for subsequent qualification?	192.803 192.805 192.809	195.503 195.505 195.509	10	Adapted from 4.01.3
	WP	A16	Does the operator's written program include provisions to ensure that any contractor organizations used by the operator to perform covered tasks will have completed qualification of individuals prior to task performance?	192.803 192.805	195.503 195.505		Adapted from Verification Statement in 1.02.
	OR	A17	Are mutual assistance agreements addressed under the operator's OQ program and are there provisions to ensure that individuals performing covered tasks for the operator under such programs are qualified consistent with the operator's program requirements?	192.803	195.503		Adapted from Verification Statement in 1.06
	OR	A18	Does the operator's OQ program plan contain policy and criteria for the use of training in initial qualification of individuals performing covered tasks?	192.803 192.805	195.503 195.505	5	Protocol Question 1.04
WP	OR	A19	Are criteria in existence for <u>re-training</u> and re-evaluation of individuals if qualifications are questioned?	192.803 192.805	195.503 195.505	5	Protocol Question 1.04
OK	OR	A20	Has the operator documented in its OQ plan a periodic requirement for program review?	192.805	195.505	6, 12	Adapted from 6.01.1

Identification of Covered Tasks/Evaluation Criteria						
		Item #	Description	Regulatory Reference		13 issue Notes
OK	OR	B1	Has the operator employed an industry generated "Off-the-Shelf" program for identifying covered tasks?	192.805	195.505	Created (adapted from 1.01.1 and 1.01.2)
OK	OR	B1.1	If the operator has employed an industry-generated "Off-the-Shelf" program for identifying covered tasks without modification, has documentation been developed that supports the operator's assertion that all covered tasks applicable to its O&M program are encompassed by the industry program?	192.805	195.505	Adapted from 1.01.1
OK	OR	B1.2	If the operator has employed an industry-generated "Off-the-Shelf" program but has modified it to address operator-specific O&M tasks, has documentation been developed to identify the differences in covered tasks from the industry list?	192.805	195.505	Adapted from 1.01.2
		B2	Has the operator applied the four-part test to determine whether 49 CFR Part 192 or 49 CFR Part 195 O&M activities applicable to the operator are covered tasks?	192.801 192.805	195.501 195.505	Adapted from Verification Statement in 2.01
WP		B3	Was the method used by the operator to develop its covered task list comprehensive and documented, and did it consider all tasks that are performed by employees and contractors to meet regulatory requirements of the OQ rule?	192.801 192.805	195.501 195.505	11 Adapted from 2.01.1
	OR	B4	Has the operator considered activities that pose significant risk to the integrity of pipeline facilities, such as excavation and backfilling, in the development of its covered task list? To be addressed in std	192.801 192.805	195.501 195.505	3 Adapted from 2.01.2
		B5	Do AOCs used for qualification of individuals performing covered tasks consist of those AOCs that the operator can reasonably anticipate the individual will encounter while performing the covered task?	192.803	195.503	8 Adapted from 1.03.1
	OR	B6	Are task-specific AOCs identified, as necessary, for qualification in addition to generic AOCs, in cases where special requirements and conditions for the task being performed must be considered?	192.803	195.503	8 Adapted from 1.03.2
WP		B7	Has the operator identified the positions individuals responsible for performing the covered tasks (job classification of employees or contractor)?	192.801 192.805	195.501 195.505	Adapted from 2.01.5

Re-evaluation						
		Item #	Description	Regulatory Reference		13 issue Notes
		C1	Has the operator established intervals for re-evaluating individuals performing covered tasks?	192.805	195.505	4 Adapted from Verification Statement in 5.02
		C2	Are re-evaluation intervals for qualified individuals task-specific?	192.805	195.505	4 Adapted from 1.01.3
OK	OR	C3	Has the operator established a basis to support the reevaluation intervals?	192.805	195.505	4 Adapted from 1.01.3

	OR	C4	Has the operator established provisions to consider changes in reevaluation intervals based on performance monitoring?	192.805	195.505	4	Adapted from 1.01.3
--	----	-----------	--	---------	---------	---	-------------------------------------

Evaluation Methods						
		Item #	Description	Regulatory Reference		13 Issue Notes
		D1	Can the operator demonstrate that all individuals performing covered tasks as of October 28, 2002, and not otherwise directed or observed by a qualified individual were qualified in accordance with the operator's written qualification program?	192.809	195.509	Adapted from Verification Statement in 1.05
		D2	Have evaluation method(s) been established and documented for each covered task?	192.803 192.805	195.503 195.505	10 Adapted from Verification Statement in 2.02
		D3	Are evaluation methods used for qualification of individuals performing covered tasks tailored to the requirements of the covered tasks and the needs of the individuals being evaluated?	192.803 192.805	195.503 195.505	10 Adapted from 2.02.1
		D4	Are evaluation methods consistently applied across the operator's organization such that all employees performing a covered task are evaluated using the same methods?	192.803 192.805	195.503 195.505	Adapted from 2.02.2
		D5	If the operator employs contractor organizations to provide individuals to perform covered tasks, have methods used to qualify contractor individuals to perform each of the operator's covered tasks been approved by the operator?	192.803 192.805	195.503 195.505	Adapted from 1.02.1
WP	OR	D6	Do evaluation methods of operator employees and contractors include the evaluation of an individual's knowledge, skills, and physical capabilities abilities in order to ensure that the individual can perform the assigned covered tasks?	192.803 192.805	195.503 195.505	10 Adapted from 2.02.4
		D7	Does the operator use work performance history review as a method of evaluation?	192.803 192.805 192.809	195.503 195.505 195.509	10 Created -- adapted from Protocol Question 4.01
		D7.1	Did the operator use work performance history review as the sole method of qualification for individuals performing covered tasks prior to October 26, 1999?	192.803 192.805 192.809	195.503 195.505 195.509	10 Revised and Adapted from Protocol Question 4.01
		D7.2	Has the operator established specific evaluation criteria and requirements for the use of work performance history review as an evaluation method for covered tasks?	192.803 192.805	195.503 195.505	10 Adapted from 2.02.3
		D7.3	Has the operator established provisions to ensure that after October 28, 2002, work performance history is not used as a sole evaluation method?	192.803 192.805 192.809	195.503 195.505 195.509	10 Adapted from Verification Statement in 4.01
AOCs						
		Item #	Description	Regulatory Reference		13 Issue Notes
WP		E1	Can the operator demonstrate that all qualified individuals are able to recognize and react to AOCs ... related to the task?	192.803	195.503	8 Adapted from Protocol Question 1.03

		E2	Has the operator established provisions for communicating AOCs for the purpose of qualifying individuals?	192.803	195.503	8	Adapted from Protocol Question 4.02. Removed "...evaluated and qualified individuals for their capability to recognize and react to AOCs, are the AOCs identified those that the individual may reasonably anticipate and appropriately react to during the performance of the covered task.." since redundant with E1 and B5
OK	OR	E3	Has the operator established provisions to ensure that training modules or evaluation methods for AOCs identify and ensure the evaluation of the appropriate reaction of an individual upon recognition of an AOC?	192.803	195.503	8	Adapted from 4.02.2
WP	OR	E4	Are contractor individuals performing covered tasks evaluated to the same set of AOCs (generic and task-specific) as individuals employed by operator personnel performing the same covered tasks?	192.803	195.503	8	Adapted from 4.02.4

Program Management						
		Item #	Description	Regulatory Reference		13 Issue Notes
		F1	Have provisions been established and documented to ensure contractors are required to perform covered tasks in accordance with the operator's requirements?	192.803 192.805	195.503 195.505	Adapted from 1.02.2
		F2	Have provisions been established and documented to ensure qualification program requirements are followed by contractors and that contractor personnel are properly qualified?	192.803 192.805	195.503 195.505	Adapted from 1.02.3
		F3	Has the operator implemented an effective method to verify the qualifications of individuals performing covered tasks at the job site? (e.g.: current hard copy list, qualification card, central electronic database, or other forms of covered task qualification information)	192.805 192.807	195.505 195.507	Adapted from 3.01.2
		F4	Does the operator's program includes provisions for the performance of a covered task by a non-qualified individual under the direction and observation by a qualified individual?	192.805	195.505	7 Adapted from Verification Statement in 3.02
OK	OR	F4.1	Has the operator given consideration to tasks that cannot or should not be performed by non-qualified individuals under the direction and observation of a qualified individual, due to their complexity or due to the critical nature of the task?	192.805	195.505	7 3.02.3
	OR	F4.2	Has criteria been established by the operator to define IF A the type of non-qualified individual that may perform specific covered tasks?	192.805	195.505	7 Adapted from 3.02.1
	OR	F4.3	Has the operator established criteria for defining the duration that a non-qualified individual can continue to perform covered tasks?	192.805	195.505	7 Adapted from 3.02.1
	OR	F4.4	Has the operator established criteria for the ratio of qualified individuals to non-qualified individuals on a task-specific basis?	192.805	195.505	7 Adapted from 3.02.2
WP	OR	F5	Does the operator have a method to ensure that contractor individuals that are no longer qualified to perform a covered task under another operator's program are identified prior to performing the task for its organization?	192.803 192.805	195.503 195.505	Adapted from Verification Statement in 1.02
	A17	F6	Has the operator's OQ program identified the qualification requirements for individuals performing covered tasks under mutual assistance agreements?	192.803	195.503	Protocol Question 1.06
	OR	F7	Has the operator been involved in a merger or acquisition after the OQ program was implemented, and was an approach established for consistency of qualification and evaluation process of individuals performing covered tasks throughout the operator's revised organization?	192.805	195.505	Protocol Question 8.02

Training						
		Item #	Description	Regulatory Reference		13 Issue # Notes

OK	OR	G1	Are individuals who have contributed to an incident/accident as a result of performing a covered task or whose qualifications for performance of covered tasks are in question considered for the need for retraining prior to reevaluation?	192.803 192.805	195.503 195.505
OK	OR	G2	Are qualified individuals who fail reevaluation testing considered for remedial training in their areas of deficiency?	192.803 192.805	195.503 195.505

4, 5, 9	Adapted from 1.04.2
5	Adapted from 1.04.3

Documentation and Records						
		Item #	Description	Regulatory Reference		13 Issue Notes
		H1	Can the operator demonstrate that records are being maintained in accordance with the requirements of 49 CFR 192, subpart N, and 49 CFR 195, subpart G, for all individuals performing covered tasks, including contractor individuals?	192.807	195.507	11 Adapted from 7.01
WP		H1.1	Can the operator demonstrate that documentation is being maintained <u>related to the evaluation of individuals performing covered tasks?</u>	192.805 192.807	195.505 195.507	11 Adapted from Verification Statement in 3.01
WP		H1.2	Can the operator demonstrate that records are being properly maintained related to the qualifications of individuals performing covered tasks?	192.805 192.807	195.505 195.507	11 Adapted from Verification Statement in 3.01
WP		H2	Has the operator established and documented provisions to ensure the availability, maintenance, and continued presence of qualification records for contractor individuals performing covered tasks for the operator or who have previously performed covered tasks?	192.803 192.805 192.807	195.503 195.505 195.507	11 Adapted from 1.02.5 and 7.01.3
WP		H3	Is documentation of the evaluation and qualification of individuals performing covered tasks readily retrievable by work supervisors in order to properly assign individuals to perform covered tasks?	192.805 192.807	195.505 195.507	11 Adapted from 3.01.1
		H4	Does the operator's program ensure the retention of records of prior qualification and records of individuals no longer performing covered tasks for at least five years?	192.807	195.507	11 Adapted from Verification Statement in 7.01
	OR	H5	If used, are credentials of the evaluators are specified and documented?	192.805	195.505	11 Adapted from 4.03.2
	OR	H6	Has the operator considered the need for periodic back-up of qualification database information, whether in-house databases or industry databases, to ensure continued availability of information required to meet rule provisions?	192.807	195.507	11 Adapted from 7.01.2

Program Quality Management						
		Item #	Description	Regulatory Reference		13 Issue Notes
WP	OR	I1	Does the operator established a management review group seek feedback on program effectiveness and needed improvements and periodically meet and assess the feedback for improvements that should be made to the OQ program?	192.805	195.505	6, 12 Adapted from 6.01.3
WP	OR	I2	Does the operator utilize incident/accident investigations, employee feedback programs, and/or industry benchmarking approaches to ensure that the AOCs identified and used in evaluating individuals are representative of those that could reasonably be anticipated during performance of covered tasks?	192.803	195.503	6, 8, 12 Adapted from 4.02.3

WP = wording problems
OR = outside the OQ Rule
ST = Standard

WP		I3	Does the operator's program ensure the determination of the contribution of individuals performing covered tasks to incidents or accidents and the subsequent evaluation of individuals involved in an incident or accident, and are there provisions for determining the proper performance of a covered task?	192.805	195.505	4,9	Protocol Question 5.01
WP		I4	Has the operator established provisions for determining whether an individual is no longer qualified to perform a covered task and requires reevaluation?	192.805	195.505		Adapted from Verification Statement in 5.02
	OR	I5	Are there documented methods identified to determine if individuals are performing covered tasks properly? These methods may include, but not be limited to, internal audits, third-party audits, inspections, assessments of procedure compliance, supervisor overviews, or technical specialist assessments.	192.805	195.505	4	Adapted from 5.01.1
WP	OR	I6	Has the operator identified provisions for assessing the evaluation criteria and methods used by contractors or other operators to qualify an individual and establishes criteria to determine if the qualification is consistent with operator requirements or if the individual must be reevaluated?	192.805	195.505	12	Adapted from 5.02.1
ST	OR	I7	Does the operator have provisions for assembling, analyzing and integrating data and records from internal and external sources in order to evaluate performance of its OQ program and implement improvements that can enhance the effectiveness of its program?	192.805	195.505	6, 12	Protocol Question 6.01
ST	OR	I8	Is the operator actively involved in industry groups that seek to improve OQ programs and establish practices that will be identified and documented in consensus standards?	192.805	195.505	6, 12	Adapted from 6.01.2

Management of Change							
		Item #	Description	Regulatory Reference		13 Issue	Notes
WP		J1	Has the operator established and applied change control mechanisms to the OQ plan and are mechanisms in place to communicate revisions to the plan to appropriate individuals?	192.805	195.505		Adapted from 8.01.4
		J2	Has the operator identified how it ensures the addition, revision, or deletion of covered tasks to incorporate changes to operations or regulations?	192.801 192.805	195.501 195.505	3	Adapted from 2.01.3
WP		J3	Does the operator's program include a provision to identify changes that affect covered tasks and how those changes are communicated to affected individuals?	192.805	195.505		Adapted from Verification Statement in 8.01
ST	OR	J4	If there are significant changes in the requirements upon which covered tasks are based, are these changes considered for training requirements to be incorporated in the reevaluation of all individuals performing the affected covered tasks?	192.803 192.805	195.503 195.505	5	Adapted from 1.04.1

		J5	Has the operator established provisions for factoring changes into initial and subsequent qualification evaluations, as applicable? SAME AS J3	192.805	195.505		Adapted from Verification Statement in 8.01
		J6	Does the operator's OQ program identify how changes to procedures, tools standards and other elements used by individuals in performing covered tasks are communicated to the individuals, including contractor individuals, and how these changes are implemented in the evaluation method(s)? SAME AS J3	192.805	195.505		Protocol Question 8.01
		J7	Has the operator established a means of ensuring that affected personnel are kept up-to-date on current requirements of the OQ program? SAME AS J1	192.805	195.505		Adapted from 8.01.3
		J8	Has the operator established a means of ensuring that contractors supplying individuals to perform covered tasks for the operator are notified of changes that affect task performance and thereby the qualification of these individuals? SAME AS J3	192.805	195.505		Adapted from Verification Statement in 8.01